IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application for: **James Warner et al.**	Confirmation No.: **7105**
Serial No.: **10/656,800**	Examiner: **Jay A. Morrison**
Filing Date: **September 5, 2003**	Group Art Unit: **2168**
For: **Method and Mechanism for Handling Arbitrarily-Sized XML in Operator Tree**	

INFORMATION DISCLOSURE STATEMENT

Mail Stop AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement (IDS) are being brought to the attention of the Office. The items are listed on the attached form PTO/SB/08B. The Examiner is requested to make these documents of record.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicant(s) is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant(s) as such.

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1. Timing of the Information Disclosure Statement:

☐ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) with the new patent application submitted herein (37 CFR § 1.97(a)); or (2) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d) or (3) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (4) before the mailing of a first Office action on the merits; or (5) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

  ☐ However, if the undersigned is in error in this regard, Applicant(s) respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

  ☐ However, if the undersigned is in error in this regard, Applicant(s) respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☒ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office Action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

  ☒ Charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

  ☐ The fee due under 37 CFR § 1.17(p) is being concurrently submitted with the filing of an electronic IDS submission. Thus, no additional fee is required.

  ☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant(s) respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below.

☐ This IDS is being submitted under 37 CFR § 1.97(i), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. The fee due under 37 CFR § 1.17(p) is being concurrently submitted with the filing of an electronic IDS submission. Thus, no additional fee is required.

<div align="center">STATEMENT UNDER 37 CFR § 1.97(e):</div>

☐ That each item of information contained in the IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the IDS; or

☐ That no item of information contained in the IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of the IDS.

2. Copies of the Cited Items:

☒ Copies of all of the items listed on the attached forms PTO/SB/08B are enclosed.

☐ Copies of only the following items listed on the attached forms PTO/SB/08A (Item No. * - *) and PTO/SB/08B (Item Nos. * - *) are enclosed.

☐ Copies of the following items listed on the attached form PTO/SB/08A (Item No. * - *) are not enclosed. See 37 CFR 1.98(a)(2)(i).

☐ Copies of the following documents listed in PTO/SB/08A (Item Nos. *) and PTO/SB/08B (Item Nos. *) are not supplied as they were previously cited by the Office or submitted in Information Disclosure Statements in related applications (Application No. *, filed *) and relied upon in this application for an earlier filing date under 35 USC § 120. See 37 CFR § 1.98(d). The Examiner is requested to make these documents of record.

☐   Copies of the following items listed on the attached forms PTO/SB/08A (Item Nos. *) and PTO/SB/08B (Item Nos. *) were cited in a foreign examination report in a related case. A copy of the search report and the cited references not already of record in this application are attached hereto.

3. Concise Explanation of Relevance:

☒   A concise explanation of relevance of the items listed on form PTO/SB/08B is not given.

☐   A concise explanation of relevance of [some of] the items listed on forms PTO/SB/08A and PTO/SB/08B is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references (copy attached).

4. Related Applications:

☐   Applicant(s) brings to the Office's attention the following related application(s): U.S. Patent Application No. * filed *, now U.S. Patent No. *.

5. Conclusion:

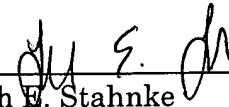Citation of the above documents shall not be construed as:

1.   an admission that the documents are necessarily prior art with respect to the instant invention;

2.   a representation that a search has been made, other than as described above; and

3.   an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

It is respectfully requested that the Examiner indicate consideration of the cited references by   returning   a   copy   of   the   attached   form   PTO/SB/08B   with   initials   or

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other appropriate marks. In the unlikely event that the transmittal letter is separated from this document and the U.S. Patent Office determines that an extension and/or other relief is required, Applicant(s) petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 50-2518**, referencing **OI7035752001**. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: July 24, 2006 By: _____
Sarah B. Stahnke
Registration No. 54,854

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Substitute for form 1449B/PTO **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** *(Use as many sheets as necessary)*	Complete if Known	
	Application Number	10/656,800
	Filing Date	09/05/2003
	First Named Inventor	James Warner
	Art Unit	2168
	Examiner Name	Jay A. Morrison
Sheet 1 of 2	Attorney Docket Number	OI7035752001

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
	1	BRUNO, N. et al., *"Holistic Twig Joins: Optimal XML Pattern Matching"*, Proceedings of the 2002 ACM SIGMOD International Conference on Management of Data SIGMOD '02, June 2002, pp. 310 - 321, ACM Press, USA.	
	2	CHAUDHURI, S. et al., *"On Relational Support for XML Publishing: Beyond Sorting and Tagging"*, Proceedings of the 2003 ACM SIGMOD International Conference on Management of Data, June 2003, ACM Press, USA.	
	3	DAMIANI, E. et al., *"A Fine-Grained Access Control System for XML Documents"*, ACM Transactions on Information and System Security (TISSEC), May 2002, pp. 169 - 202, Volume 5, Issue 2, ACM Press.	
	4	DeHAAN, D. et al., *"A Comprehensive XQuery to SQL Translation Using Dynamic Interval Encoding"*, Proceedings of the 2003 ACM SIGMOD International Conference on Management of Data, June 2003, pp. 623 - 634, ACM Press, USA.	
	5	FIEBIG, T. et al., *"Algebraic XML Construction and its Optimization in Natix"*, World Wide Web, January 2002, pp. 167 - 187, Volume 3, Issue 4, Kluwer Academic Publishers, The Netherlands.	
	6	FLESCA, S. et al., *"A Query Language for XML Based on Graph Grammars"*, World Wide Web, August 2002, pp. 125 - 157, Volume 5, Issue 2, Kluwer Academic Publishers, The Netherlands.	
	7	FUNDERBURK, J. et al., *"XML Programming with SQL/XML and XQuery"*, IBM Systems Journal, October 2002, pp. 642 - 665, Volume 41, Number 4, IBM Corporation, USA.	
	8	IVES, Z. et al., *"An XML Query Engine for Network-Bound Data"*, The VLDB Journal - The International Journal on Very Large Data Bases, December 2002, pp. 380 - 402, Volume 11, Issue 4, Springer-Verlag New York, Inc., USA.	
	9	JIANG, H. et al., *"Path Materialization Revisited: An Efficient Storage Model for XML Data"*, Australian Computer Science Communications, Proceedings of the 13th Australasian Database Conference, January 2002, pp. 85 - 94, Volume 24, Issue 2, Australian Computer Society, Inc., and the IEEE Computer Society Press, Australia.	
	10	LEE, D. et al., *"NeT & CoT: Translating Relational Schemas to XML Schemas Using Semantic Constraints"*, Proceedings of the 11th International Conference on Information and Knowledge Management, November 2002, pp. 282 - 291, ACM Press, USA..	

Examiner Signature		Date Considered	

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

	Complete if Known	
Application Number	10/656,800	
Filing Date	09/05/2003	
First Named Inventor	James Warner	
Art Unit	2168	
Examiner Name	Jay A. Morrison	

Sheet	2	of	2	Attorney Docket Number	OI7035752001

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	11	LI, C. et al., *"Composing XSL Transformations with XML Publishing Views"*, Proceedings of the 2003 ACM SIGMOD International Conference on Management of Data, June 2003, pp. 515 - 526, ACM Press, USA.	
	12	LI, X. et al., *"Compiler Support for Efficient Processing of XML Datasets"*, Proceedings of the 17th Annual International Conference on Supercomputing, June 2003, pp. 42 - 52, ACM Press, USA.	
	13	PAPAKONSTANTINOU, Y. et al., *"QURSED: Querying and Reporting Semistructured Data"*, Proceedings of the 2002 ACM SIGMOD International Conference on Management of Data SIGMOD '02, June 2002, ACM Press, USA.	
	14	SHANMUGASUNDARAM, J. et al., *"Efficiently Publishing Relational Data as XML Documents"*, The International Journal on Very Large Data Bases, September 2001, pp. 133 - 154, Volume 10, Issue 2-3, Springer-Verlag New York, Inc., USA.	
	15	TATARINOV, I. et al., *"Storing and Querying Ordered XML Using a Relational Database System"*, Proceedings of the 2002 ACM SIGMOD International Conference on Management of Data SIGMOD '02, June 2002, ACM Press, USA.	
	16	WONG, R., "The Extended XQL for Querying and Updating Large XML Databases", Proceedings of the 2001 ACM Symposium on Document Engineering, November 2001, pp. 95 - 104, ACM Press, USA.	
	17	YOSHIKAWA, M. et al., "XREL: A Path-Based Approach to Storage and Retrieval of XML Documents Using Relational Databases", ACM Transactions on Internet Technology (TOIT), August 2001, pp. 110 -141, Volume 1, Issue 1, ACM Press, USA.	
	18	ZHANG, X. et al., *"Honey, I Shrunk the XQuery! - An XML Algebra Optimization Approach"*, Proceedings of the 4th International Workshop on Web Information and Data Management, November 2002, pp. 15 - 22, ACM Press, USA.	

Examiner Signature		Date Considered	

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